

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: S. Deliwala

Serial No.: 10/078,203

Filed: February 19, 2002

For: FOCUSING MIRROR AND LENS



Examiner: Not yet known

Group No.: 3653

Attorney Docket No.: 53168-500305

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INFORMATION DISCLOSURE STATEMENT

PURSUANT TO 37 C.F.R. §§ 1.56 ET SEQ.

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Assistant Commissioner for Patents  
Washington, D.C. 20231

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Dear Sir:

In accordance with 37 C.F.R. § 1.97(b), the above-identified Applicant cites the following patents and publications, which may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56. In compliance with 37 C.F.R. § 1.98(a), copies of the patents and publications set forth below and listed on the attached Form PTO/SB/08A have been provided.

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CERTIFICATE OF MAILING (37 C.F.R. § 1.8)

I hereby certify that this paper, and the papers and/or fees referred to herein as transmitted, submitted or enclosed, are being deposited on the date shown below with the U.S. Postal Service with sufficient postage as first-class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Name Daniel H. Golub

Signature

Date of Deposit April 11, 2002

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| U.S. Patent Document No. | Patentee         | Publication Date |
|--------------------------|------------------|------------------|
| 5,880,491                | Soref et al.     | 03/09/99         |
| 5,875,271                | Laughlin         | 02/23/99         |
| 5,841,916                | Laughlin         | 11/24/98         |
| 6,114,994                | Soref et al.     | 09/05/00         |
| 5,354,709                | Lorenzo et al.   | 10/11/94         |
| 5,260,592                | Mead et al.      | 11/09/93         |
| 6,163,632                | Rickman et al.   | 12/19/00         |
| 5,908,305                | Crampton et al.  | 06/01/99         |
| 5,757,986                | Crampton et al.  | 05/26/98         |
| 6,002,515                | Mizuuchi et al.  | 12/14/99         |
| 5,894,492                | Welch et al.     | 04/13/99         |
| 6,088,496                | Asghari          | 07/11/00         |
| 5,444,567                | Kataoka          | 08/22/95         |
| 5,926,601                | Tai et al.       | 07/20/99         |
| 6,222,689 B1             | Higuchi et al.   | 04/24/01         |
| 5,577,141                | Adar et al.      | 11/19/96         |
| 5,652,681                | Chen et al.      | 07/29/97         |
| 5,513,289                | Hosokawa et al.  | 04/30/96         |
| 6,282,357 B1             | Kadota et al.    | 08/28/01         |
| 6,017,681                | Tsukamoto et al. | 01/25/00         |
| 6,259,841 B1             | Bhagavatula      | 07/10/01         |
| 6,289,699 B1             | Kewitsch et al.  | 09/18/01         |

| Foreign Patent Document No. | Patentee/Applicant   | Publication Date |
|-----------------------------|----------------------|------------------|
| WO-99/09514-A1              | Advanced Precision   | 02/25/99         |
| WO-01/20372-A2              | Corning Incorporated | 03/22/01         |
| WO-01/56119-A2              | Lambda Physik        | 08/02/01         |
| WO-01/01530-A1              | Lambda Physik        | 01/04/01         |
| WO-00/58776-A1              | Bookham Technology   | 10/05/00         |
| WO-00/49451-A1              | Bookham Technology   | 08/24/00         |
| WO-99/60433-A1              | Bookham Technology   | 11/25/99         |
| WO-99/34485-A1              | Bookham Technology   | 07/08/99         |
| WO-01/50166-A1              | Bookham Technology   | 07/12/01         |
| WO-98/35253-A1              | Bookham Technology   | 08/13/98         |
| WO-00/25156-A1              | Bookham Technology   | 05/04/00         |
| WO-01/67172-A1              | Bookham Technology   | 09/13/01         |

Applicant respectfully requests that these items be considered by the Examiner, and that the Examiner acknowledge consideration of these references by initialing and returning copies of the enclosed Form PTO/SB/08A with the next official action.

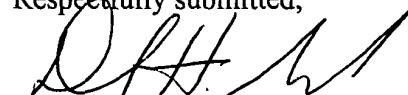
Applicant also wishes to bring to the Examiner's attention the applications set forth on Exhibit A, all of which are owned by the assignee of the present invention, and which may disclose or claim subject matter in respect of which there may be a duty to disclose.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention or otherwise material to the patentability of this invention as defined in 37 C.F.R. § 1.56.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(b) exists.

The Commissioner is hereby authorized to charge any deficiency in the fees due for this Information Disclosure Statement to Deposit Account No. 50-0310. A duplicate of this paper is enclosed.

Respectfully submitted,



---

Daniel H. Golub  
Reg. No. 33,701  
Attorney for Applicant

MORGAN, LEWIS & BOCKIUS LLP  
1701 Market Street  
Philadelphia, PA 19103-2921  
215.963.5055

Dated: April 11, 2002

**EXHIBIT A**

| <b>Docket No.</b> | <b>TITLE</b>   | <b>INVENTORS</b> | <b>PATENT/<br/>SERIAL<br/>NO.</b> | <b>ISSUE/<br/>FILING<br/>DATE</b> |
|-------------------|--|------------------|-----------------------------------|-----------------------------------|
| 053168-5003       | Electronic Semiconductor Control of Light in Optical Waveguide                                   | S. Deliwala      | 09/859,693                        | 05/17/01                          |
| 053168-5003-01    | Integrated Optical/Electronic Circuits and Associated Methods of Simultaneous Generation Thereof | S. Deliwala      | 09/991,542                        | 11/10/01                          |
| 53168-500301D1    | Optical Coupler Having Evanescent Coupling Region  | S. Deliwala      | 10/074,408                        | 02/12/02                          |
| 53168-500301D2    | Method of Forming Passive Optical Coupling Device  | S. Deliwala      | 10/077,026                        | 02/15/02                          |
| 53168-500301D3    | Simulation Program for Integrated Optical/Electronic Circuit                                     | S. Deliwala      | 10/076,920                        | 02/15/02                          |
| 53168-500301D4    | Shallow Photonic Bandgap Device  | S. Deliwala      | 10/078,972                        | 02/19/02                          |
| 53168-500301D6    | Hybrid Active and Electronic Circuit with Evanescent Coupling                                    | S. Deliwala      | 10/079,668                        | 02/20/02                          |
| 53168-500301D7    | Hybrid Active Electronic and Optical Fabry Perot Cavity  | S. Deliwala      | 10/079,310                        | 02/20/02                          |
| 53168-500301D8    | Hybrid Multiplexer/Demultiplexer   | S. Deliwala      | 10/079,073                        | 02/20/02                          |

|                |  |                              |            |          |
|----------------|--|------------------------------|------------|----------|
| 053168-5003-02 | Anisotropic Etching of Optical Components                    | S. Deliwala<br>K. Montgomery | 09/991,371 | 11/10/01 |
| 053168-5004    | Optical Modulator Apparatus and Associated Method            | S. Deliwala                  | 09/859,297 | 05/17/01 |
| 053168-5005    | Optical Lens Apparatus and Associated Method                 | S. Deliwala                  | 09/859,647 | 05/17/01 |
| 053168-5006    | Optical Deflector Apparatus and Associated Method            | S. Deliwala                  | 09/859,239 | 05/17/01 |
| 053168-5007    | Optical Filter Apparatus and Associated Method               | S. Deliwala                  | 09/859,338 | 05/17/01 |
| 053168-5008    | Dynamic Gain Equalizer Apparatus and Associated Method       | S. Deliwala                  | 09/859,279 | 05/17/01 |
| 053168-5009    | Self-Aligning Modulator Apparatus and Associated Method      | S. Deliwala                  | 09/859,769 | 05/17/01 |
| 053168-5010    | Programmable Delay Generator Apparatus and Associated Method | S. Deliwala                  | 09/859,321 | 05/17/01 |
| 053168-5011    | Polarization Control Apparatus and Associated Method         | S. Deliwala                  | 09/859,663 | 05/17/01 |
| 053168-5012    | Interferometer Apparatus and Associated Method               | S. Deliwala                  | 09/859,786 | 05/17/01 |



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1 of 2

Complete if Known

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|------------------------|----------------|
| Application Number     | 10/078,203     |
| Filing Date            | 02/19/2002     |
| First Named Inventor   | Duttewala      |
| Art Unit               | 3653           |
| Examiner Name          | Not yet known  |
| Attorney Docket Number | 53168-500301DS |

| U.S. PATENT DOCUMENTS          |                       |   |                                |  |   |
|--------------------------------|-----------------------|---|--------------------------------|--|---|
| Examiner Initials <sup>1</sup> | Cite No. <sup>1</sup> | Document Number<br>Number - Kind Code <sup>2</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
| A                              | US-5,880,491          | 03-09-1999  | Soref et al.                   |  |   |
| B                              | US-5,875,271          | 02-23-1999  | Laughlin                       |  |   |
| C                              | US-5,841,916          | 11-24-1999  | Laughlin                       |  |   |
| D                              | US-6,114,994          | 09-05-2000  | Soref et al.                   |  |   |
| E                              | US-5,354,709          | 10-11-1994  | Lorenzo et al.                 |  |   |
| F                              | US-5,260,592          | 11-09-1993  | Mead et al.                    |  |   |
| G                              | US-6,163,632          | 12-19-2000  | Rickman et al.                 |  |   |
| H                              | US-5,908,305          | 06-01-1999  | Crampton et al.                |  |   |
| I                              | US-5,757,986          | 05-26-1996  | Crampton et al.                |  |   |
| J                              | US-6,002,515          | 12-14-1999  | Mizunchi et al.                |  |   |
| K                              | US-5,814,492          | 04-13-1999  | Welch et al.                   |  |   |
| L                              | US-6,086,496          | 07-11-2000  | Asghari                        |  |   |
| M                              | US-5,444,567          | 08-22-1995  | Katayoka                       |  |   |
| N                              | US-5,916,601          | 07-20-1999  | Tai et al.                     |  |   |
| O                              | US-6,222,689B1        | 04-24-2001  | Higuchi et al.                 |  |   |
| P                              | US-5,577,141          | 11-19-1996  | Udar et al.                    |  |   |
| Q                              | US-5,652,681          | 07-29-1997  | Chen et al.                    |  |   |
| R                              | US-5,513,289          | 04-30-1996  | Hasokawa et al.                |  |   |
| S                              | US-6,282,357B1        | 08-28-2001  | Kadota et al.                  |  |   |
| T                              | US-6,017,681          | 01-25-2000  | Tsukamoto et al.               |  |   |

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| FOREIGN PATENT DOCUMENTS       |                       |  |                                |  |   |
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| Examiner Initials <sup>1</sup> | Cite No. <sup>1</sup> | Foreign Patent Document<br>Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known) | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear |
| U                              | WO - 91/09514 - A1    | 02-25-1991   | Advanced Precision             |  |   |
| V                              | WO - 01/20372 - A2    | 03-22-2001   | Corning Incorporated           |  |   |
| W                              | WO - 01/56119 - A2    | 08-02-2001   | Lambda Physik                  |  |   |
| X                              | WO - 01/101530 - A1   | 01-04-2001   | Lambda Physik                  |  |   |
| Y                              | WO - 00/158776 - A1   | 10-05-2000   | Bookham Tech.                  |  |   |
| Z                              | WO - 00/149451 - A1   | 10-24-2000   | Bookham Tech.                  |  |   |
| AA                             | WO - 99/0433 - A1     | 11-25-1999   | Bookham Tech.                  |  |   |
| BB                             | WO - 99/34485 - A1    | 107-08-1999  | Bookham Tech.                  |  |   |
| CC                             | WO - 01/150166 - A1   | 107-12-2001  | Bookham Tech.                  |  |   |
| DD                             | WO - 98/135253 - A1   | 08-13-1998   | Bookham Tech.                  |  |   |

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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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